

10 Rec-1 PCT-10 09 OCT 2001

Prepared from  
FORM PTO-1390

Transmittal Letter to the United States  
Designated/Elected Office (DO/EO/US)

Page 1

Customer No.	026418	
Attorney's Docket No.:	GK-BUE-102 / 500647.20003	
U.S. Application No.:	09/856,833	
International Application No.:	PCT/CH99/00515	
International Filing Date:	NOVEMBER 03, 1999	03 NOVEMBER 1999
Priority Date Claimed:	NOVEMBER 26, 1998	26 NOVEMBER 1998
Title of Invention:	METHOD AND DEVICE FOR PROCESSING A THERMOPLASTIC CONDENSATION POLYMER	
Applicant(s) for (DO/EO/US):	Franz GOEDICKE and Federico INNEREBNER	

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☐ 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☒ 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ 3. This express request to begin national examination procedures [35 U.S.C. 371 (f)] at any time rather than delay examination until the expiration of the applicable time limit set forth in 35 U.S.C. 371(b) and PCT Articles 22 and
- ☐ 4. A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- ☐ 5. A copy of the **Publication No. WO 00/32377 published 8JUN00** International Application as filed [35 U.S.C. 371(c)(2)]
  - a) ☐ is transmitted herewith (required only if not transmitted by the International Bureau)
  - b) ☐ has been transmitted by the international Bureau
  - c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
- ☐ 6. A translation of the **Publication No. WO 00/32377 published 8JUN00** International Application into English [35 U.S.C. 371(c)(2)]
- ☐ 7. Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
  - a) ☐ are transmitted herewith (required only if not transmitted by the International Bureau)
  - b) ☐ have been transmitted by the International Bureau
  - c) ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
  - d) ☐ have not been made and will not be made
- ☐ 8. A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]
- ☒ 9. An EXECUTED Oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)]
- ☐ 10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)]

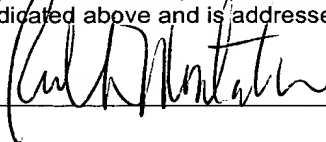
Items 11. to 16. Below concern other document(s) or information included:

- ☐ 11. An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98
- ☐ 12. An Assignment document for recording. A separate cover sheet (PTO-1619A) in compliance with 37 CFR 3.28 and 3.31 is included.
- ☐ 13. ☐ A **FIRST** preliminary amendment  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment
- ☐ 14. A **substitute specification**
- ☐ 15. A change of power of attorney and/or address letter
- ☒ 16. (other items or information) **PCT/DO/EO/905 dated 9JUL01 and PCT/IB/338 dated 4JUL01 with English translation of PCT/IPEA/409 (the original German language form was submitted on 25MAY01).**

EXPRESS MAIL No.: EL 645 879 020 US

Deposited: October 9, 2001

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: BOX PCT, Commissioner for Patents, Washington, DC 20231.



/Ruth Montalvo Date: October 9, 2001

10/16/2001 UEDUVIJE 00000073 09856833

01 FC:154

130.00 OP

CALCULATIONS PTO USE ONLY

[ ] 17. The following fees are submitted:

**BASIC NATIONAL FEE [37 CFR 1.492(a)(1)-(5)]**

- |     |   |    |          |
|-----|---|----|----------|
| [ ] | Search Report has been prepared by the EPO or JPO.....  | \$ | 890.00   |
| [ ] | International preliminary examination fee paid to USPTO [37 CFR 1.482].....   | \$ | 700.00   |
| [ ] | No International preliminary examination fee paid to USPTO [37 CFR 1.482]<br>but International search fee paid to USPTO [37 CFR 1.445(a)(2)]..... | \$ | 740.00   |
| [ ] | Neither International preliminary examination fee [37 CFR 1.482] nor<br>International search fee [37 CFR 1.445(a)(2)] paid to USPTO.....          | \$ | 1,040.00 |
| [ ] | International preliminary examination fee paid to USPTO [37 CFR 1.482]<br>and all claims satisfied provisions of PCT Article 33(1)-(4).....       | \$ | 100.00   |

**ENTER APPROPRIATE BASIC FEE AMOUNT:**

Claims	Number Filed		Number Extra	Rate		
Total Claims		-20		x \$ 18. =		
Indep. Claims		-03		x \$ 80. =		
[X] Multiple Dependent Claim(s) (if applicable)				+ \$ 270. =		

**TOTAL OF ABOVE CALCULATIONS:**

Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [X] 30 months from the earliest claimed priority date [37 CFR 1.492(e)]

**\$130.00**

**TOTAL OF ABOVE CALCULATIONS:**

**\$130.00**

Applicant claims Small Entity Status [See 37 CFR 1.27] Reduction by 1/2 for filing by small entity

**SUBTOTAL: \$130.00**

Processing fee of \$130.00 for furnishing the English Translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date [37 CFR 1.492(f)]

**TOTAL NATIONAL FEE: \$130.00**

Fee for recording the enclosed assignment [37 CFR 1.21(h)] The assignment must be accompanied by an appropriate cover sheet (PTO-1595) [37 CFR 3.28, 3.31] \$ 40.00 per property +

**TOTAL FEE(S): \$130.00**

AMOUNTS TO BE  
REFUNDED OR CHARGED

**REFUNDED \$**  
**CHARGED \$**

[X] Check in the amount of **\$ 130.00** to cover the above fees is enclosed. (The Commissioner is hereby authorized to charge any additional fees required with this submission or to credit any overpayment to Deposit Account No: 50-1529.)

**NOTE:** Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive [37 CFR 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**Gerald H. Kiel, Esq.** (Customer No. 026418)  
Reed Smith LLP  
375 Park Avenue  
New York, NY 10152

Jules E. Goldberg  
Name (Tel. (212) 521-5400)

Signature

24,408  
Reg. No.

October 9, 2001  
Date

10 Repts.

09 OCT 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/856833	GOEDICKE	F GK-BUE-102 /
INTERNATIONAL APPLICATION NO.		
PCT/CH99/00515		
I.A. FILING DATE	PRIORITY DATE	
03 NOV 99	26 NOV 98	

GERALD H. KIEL  
REED SMITH  
375 PARK AVENUE  
NEW YORK, NY 10152

DATE MAILED: 09 JUL 2001

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> U.S. Basic National Fee.   | <input type="checkbox"/> Indication of Small Entity Status.                                    |
| <input checked="" type="checkbox"/> Copy of the international application.   | <input checked="" type="checkbox"/> Translation of the international application into English. |
| <input type="checkbox"/> Oath or Declaration of inventors(s).  | <input type="checkbox"/> Translation of Article 19 amendments into English.                    |
| <input type="checkbox"/> Copy of Article 19 amendments.  | <input checked="" type="checkbox"/> Other: ISA/210-REFERENCES, IB 331, 308                     |
| <input checked="" type="checkbox"/> Priority Document.   |  |
| <input checked="" type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any.     |  |
| <input checked="" type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English. |  |

2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee. ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation  
☐ PTO-875 ☐ PCT/DO/EO/920

Christine S. Washington

FORM PCT/DO/EO/905 (March 2001)

Telephone: 703-305-3752

DOCKET

DUE Sept. 9, 2001 *Excluded Oath on Dec. 5 under*